BUDGETING PROCEDURES (BUDGET YEAR)   **3570**

(1987)

CONCEPT PAPERS/BUDGET CHANGE PROPOSALS (BCPs)   **3570.1**

The process to change any part of a program base begins with a concept paper and ends with a BCP. A concept paper is developed by a program/organizational unit and outlines and justifies a change in PY/$ need. Once a concept paper has been approved by the Director, the regional administrative unit prepares a BCP utilizing suggestions and changes recommended by the budget office. BCPs are submitted to the budget office in priority order where they are then reviewed and submitted to the Department of Finance. If approved for inclusion in the Governor's budget, they will be reviewed by the Legislature and, if accepted, will add personnel years/funding to the baseline budget.

Concept papers should be short and to the point. Anything longer than two pages will probably not be considered. The importance of a thorough justification for each concept paper (and subsequently for each BCP) cannot be overemphasized. The more convincing the justification, the more likely its acceptance. Quality, not quantity, is what counts. Keep to the point using the following checkpoints (they need not be developed on the concept paper but must be "fleshed out" in the BCP):

OPERATING EXPENSES   **3570.2**

Only request increases in operating expenses for those services and supplies which have not been provided in the past. Do not request allowances for inflation. This will be budgeted by the Budget office.

Any expanded or reduced program should be analyzed for effect on the use of supplies, space, materials or services. Programs which will require additional printing or major changes in the format of previously established printed material should be identified in the following manner:

- Brief description of program.
- General description of printed material required.
- Estimated volume and cost.
- Estimated volume and cost of covers, if applicable.
- Probable effect on future budgets.

Changes in programs resulting in additional in-state travel costs should be reported, including a brief description of the program, the number and classification(s) of persons traveling, and the estimated number of additional days of travel per year.

Begin the justification with a concise statement of the work and tasks to be performed. State the current staffing of the unit to which the new position will be assigned. State the workload and any workload measurements which can be used to determine the need for the position. The following analysis should also be made:

- If functional timekeeping and workload measurements are not available, what measurements can be used?

- What was the basis for the original staffing of the function?

- Has the original basis of the workload changed? How much?

- Have the duties changed? Why?

- If the workload has not increased, why must an additional position be budgeted for approximately the same workload?

- Are there generally accepted standards of output per position applicable to the requested position that can be used in justifying the request?

- How has the unit operated in the past without the position?

  - Why is it now impossible to continue to do so?

  - What will result from doing without it?

- Has any particular problem created the need? If so, describe the problem.

- Has a backlog of work accumulated? Why?

  - Is the backlog expected to continue?

  - Will temporary help eliminate the backlog or is a permanent addition to the staff necessary?

  - Is time required to reduce the backlog of work equivalent to one full position, or more?

- Has it been necessary to allow overtime to be accumulated? Why?

  - How much overtime has accumulated in the past fiscal year?

  - Is it possible to use compensating time off for disposition of accumulated overtime? If not, Why?

- Other than workload, what conditions exist which justify the request (safety, health, distance from service)?

- Is the position requested to provide a new service or to expand an existing service?

  - What new law requires the new or expanded service?

  - What is the benefit of the new program or service?

  - Is it anticipated that additional positions will be requested in the future for the new service?

  - How have the future requirements been estimated?

  - How will the results of the new service be measured?

  - When and how will the results of the new program or service be reported?

- If the new position is allowed, will there be

  - More economical or efficient operation? How much will be saved?

  - Better control of the work? Why is this necessary?

  - Greater value to the department than the cost of the position? Why?

- If this position is not approved what will be the effect?

OVERTIME 3570.4

Begin the justification with a concise statement of the work and tasks to be performed. State the workload and any workload measurements which can be used to determine the need for the overtime hours. The following points should also be considered:

If workload measures are not available, what measures can be used?

Has overtime been used for this work in the past?

- Is it possible to use compensating time off for the disposition of accumulated overtime? If not, why not?

- Has a backlog of work accumulated? Why?

- Is the backlog seasonal?

- If approved, will this request for overtime eliminate the backlog?

Is the overtime requested to provide a new service or to expand an existing service? Is there a law or other compelling demand for this service? If so, describe it.

TIMETABLE FOR 1987/88 3570.5

Last Week in January   Director issues the Budget timetable and guidelines for preparation by program and organizational units the concept papers and BCPs.

February 7   Budget office will distribute blank copies of concept papers, guidelines, format, instructions and the final timetable to deputies and chiefs.

March 7   Concept papers due to the budget office in priority order by the close of business.

March 12	Concept papers will be forwarded by budget office to Executive Advisory Committee (EAC) members for review.
First Week April	EAC will review concept papers to assure that program changes are consistent with the program objectives. The review by EAC could culminate in individual regional issues or consolidated statewide issues.
	Budget office will be notified of the decisions and in turn will notify program staff of the approved concept papers and primary program responsible for development of the BCP package.
June 10	Preliminary BCPs, surnamed by Deputy Director or regional chief, due to the Budget office by close of business (3 copies).
June 27	The full BCP packages will be forwarded to the deputy directors and the regional chiefs, with copies to the regional administrative officers (RAOs).
July 11	RAO committee will meet with BCP authors to review and analyze BCPs.
July 31	Executive office to meet with senior staff and/or EAC for final BCP review and assignment of BCP priorities.

August 8   Authors incorporated changes into BCPs. Revisions due to budget office, surnamed by deputy director or regional chief.

August 14   Director reviews and signs the final BCP package.

August 15   BCPs transmitted to resources agency and senior staff.

September 15   BCPs submitted to Department of Finance.

FORMS AND/OR FORMS SAMPLES: RETURN TO ISSUANCE HOME PAGE FOR FORMS/FORMS SAMPLES SITE LINK.